

# ReedSmith



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March 16, 2004

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Applicant: BAUMGART  
Title: HARMONIC NEUTRALIZED  
FREQUENCY CHANGER  
Serial No.: 10/694,650  
Filed: October 27, 2003  
Art Unit: 2838  
Docket No.: 03-205-US

Dear Sir:

Enclosed are the following for filing in connection with the above-referenced application:

1. An Information Disclosure Statement;
2. A Form PTO-1449 with cited reference; and
3. A self-addressed stamped postcard, return of which is requested to acknowledge receipt of the enclosed documents.

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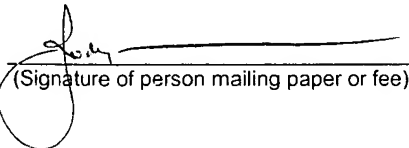
CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being

**MAILED**

☒ Deposited with the United States Postal Service on March 16, 2004, with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Jody L. Burtner

  
(Signature of person mailing paper or fee)

**FACSIMILE**

☐ Transmitted by facsimile on [date] to the U.S. Patent and Trademark Office.

Type Signature Name

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**MAIL STOP MISSING PARTS**

March 16, 2004

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The Director is authorized to charge any additional payment due in connection with this submission, or to credit any overpayment to Deposit Account No. 18-0582. A duplicate copy of this authorization is enclosed.

Very truly yours,

REED SMITH LLP

By

A handwritten signature in black ink, appearing to read 'R. D. Kucler', written over a horizontal line.

Robert D. Kucler  
Reg. No. 45,908



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

**BAUMGART**

Serial No.: 10/694,650

Filed: October 27, 2003

Art Unit: 2838

Examiner: (Not yet assigned)

Atty. Docket No.: 03-205-US

**HARMONIC NEUTRALIZED  
FREQUENCY CHANGER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on the enclosed Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☒ Enclosed is PTO Form 1449 (and a duplicate thereof).
2. ☐ Items listed on the enclosed Form PTO-1449 are not in the English language.
- ☐ For each of the following items, an English-language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:
- ☐ For each of the following items, a concise explanation of that item is incorporated in the specification of the above-identified application:
- ☐ For each of the following items, a corresponding U.S. or other English-language patent is enclosed. Please consider the U.S. or other English-language patents in accordance with the procedure set forth in MPEP § 609:

3. ☐ **Submission in Accordance with 37 CFR § 1.98(d).**

Any copy of the items listed on the enclosed Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in Application Serial No. [Ser. No.], filed [Date], of which the present application relies upon for an earlier filing date under 35 U.S.C. 120.

4. ☒ **Submission in Accordance with 37 CFR § 1.97(b).**

This Information Disclosure Statement is being filed

- ☐ With the application;
- ☐ Within three months of the filing date of a national application;
- ☐ Within three months of the date of entry of the national stage in an international application; or
- ☒ Before the mailing date of a first Office Action on the merits,

and NO FEE is due for consideration of this Information Disclosure Statement.

5. ☐ **Submission in Accordance with 37 CFR 1.97(c).**

This Information Disclosure Statement is being filed before the first mailing date of either

- ☐ A final action under § 1.113; or
- ☐ A notice of allowance under § 1.311.
- ☐ A fee is due for consideration of this Information Disclosure Statement and the fee is paid below; or
- ☐ This Information Disclosure Statement is accompanied by one of the certifications pursuant to 37 CFR § 1.97(e), and NO FEE is due for consideration of this Information Disclosure Statement.
6. ☐ Submission in Accordance with 37 CFR 1.97(d).

This Information Disclosure Statement is being filed after the mailing date of either

- ☐ A final action under § 1.113; or
- ☐ A notice of allowance under § 1.311,

whichever comes first, but before payment of the issue fee, and is accompanied by

- a. One of the certifications pursuant to 37 CFR § 1.97(e), which is set forth below;
- b. The attached petition requesting consideration of this Information Disclosure Statement; and
- c. The petition fee under 37 CFR § 1.17(i)(1), which is paid below.

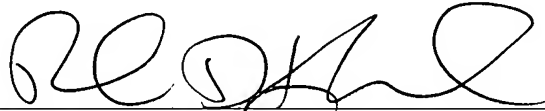
7. Certification Pursuant to 37 CFR 1.97(e).

- ☐ The undersigned certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ The undersigned certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

8. Fee Payment Being Made.

- ☐ Enclosed
- ☐ \$180.00 fee for submission under 37 CFR § 1.97(c).
- ☐ \$180.00 fee for submission under 37 CFR § 1.97(d).
- ☐ A check in the amount of \$[Amount] to cover the fee payment is enclosed.
- ☐ Charge the fee to Deposit Account No. 18-0582. A duplicate copy of this communication is attached.
- ☒ The Director is hereby authorized to charge payment of any additional fees associated with this Information Disclosure Statement or credit any overpayment to Deposit Account No. 18-0582. A duplicate copy of this communication is enclosed.

Respectfully submitted,



Robert D. Kucier  
Reg. No. 45,908

Dated: March 16, 2004

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Attorney for Applicant

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(MODIFIED) U.S. PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SER. NO.

03-205-US

10/694,650

APPLICANT

BAUMGART

FILING DATE

October 27, 2003

GROUP

2838

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(37 CFR 1.98(b))

### U.S. PATENT DOCUMENTS

Examiner Initial	Cite No.	Patent Number	Issue Date	Patentee	Class/ Subclass	Filing Date
_____		3,825,815	July 1974	Gyugyi et al.		
_____		4,651,265	Mar. 1987	Stacey et al.		
_____		4,812,669	Mar. 1989	Takeda et al.		
_____		5,005,115	Apr. 1991	Schauder		
_____		5,047,909	Sept. 1991	Hosoda		
_____		5,198,746	Mar. 1993	Gyugyi et al.		

### FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

Examiner Initial	Cite No.	Document Number	Publication Date	Country or Patent Office	Class/ Subclass	Translation Yes/No
_____						
_____						
_____						
_____						
_____						

### OTHER DOCUMENTS

(Including Author, Title, Date, Relevant Pages, Place of Publication)

Examiner Initial	Cite No.	
_____		
_____		
_____		
_____		
_____		

EXAMINER	DATE CONSIDERED

**EXAMINER:** Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.